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2005 NATIVE HAWAIIAN LIBRARY SERVICES

*Grant Application
and Guidelines*

INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

Application Deadline:

May 16

For information, call

IMLS: (202) 606-5227

Native Hawaiian Library Services

GRANT APPLICATION AND INFORMATION

FISCAL YEAR 2005

WHAT IS IMLS?

The Institute of Museum and Library Services is an independent federal grant-making agency dedicated to creating and sustaining a nation of learners. The Institute fosters leadership, innovation, and a lifetime of learning by supporting the nation's 15,000 museums and 122,000 libraries. The Institute also encourages partnerships to expand the educational benefit of libraries and museums. Created by the Museum and Library Services Act of 1996, P.L. 104-208, IMLS administers the Library Services and Technology Act and the Museum Services Act. In 2003, Congress reauthorized the Museum and Library Services Act, P.L. 108-81, reaffirming the vital role that museums and libraries play in our communities. The Institute receives policy advice from the Presidentially appointed, Senate confirmed National Museum and Library Services Board.

FOR MORE INFORMATION CALL OR WRITE:

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Washington, DC 20506
(202) 606-5227

E-mail: imlsinfo@imls.gov
Web site: <http://www.imls.gov/>
TTY (for hearing-impaired people): (202) 606-8636

Visually or learning disabled people may obtain assistance in acquiring a cassette recording of this or any other IMLS grant information and guidelines booklet by contacting IMLS.

BURDEN ESTIMATE AND REQUEST FOR PUBLIC COMMENTS

The time required to complete this information collection is estimated to average ten hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the information collection. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Institute of Museum and Library Services, 1100 Pennsylvania Avenue, NW, Room 223, Washington DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0001), Washington, DC 20503.

CFDA NO. 45.311

EQUAL OPPORTUNITY STATEMENT

IMLS programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Civil Rights Officer, Institute of Museum and Library Services, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.



INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

Dear Colleague:

It is a pleasure to present the guidelines for the FY 2005 Institute of Museum and Library Services Native Hawaiian Library Services grant. This booklet contains the application forms and instructions needed to prepare and submit an application.

The Museum and Library Services Act provides funding for libraries to bring information to people in new and interesting ways. The Act is designed to ensure that library service is accessible to all and that libraries can make maximum use of technology to improve their services. IMLS grants will help libraries bring people the information they want and need in the most effective ways possible.

Grant funds may be used to promote electronic linkages and electronic networks; to enable libraries to establish consortia and share resources; including computer systems and telecommunications technologies; and to improve services to persons having difficulty using a library and other underserved populations.

We believe that library services to Native Hawaiians will be enhanced by this opportunity for federal funding. We welcome comments from the library community as well as from the user communities who are the beneficiaries of these services.

Sincerely,

Robert S. Martin, Ph.D.
Director

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GUIDELINES

Eligibility

Native Hawaiian Library Services grants are available to nonprofit organizations that primarily serve and represent Native Hawaiians (as the term is defined in section 7207 of the Native Hawaiian Education Act). The term “Native Hawaiian” means an individual who is a citizen of the United States and a descendant of the aboriginal people who, prior to 1778, occupied and exercised sovereignty in the area that now comprises the State of Hawaii.

Purpose of Program

Native Hawaiian Library Services grants support library services to the Native Hawaiian community to enhance existing library services or to implement new library services particularly as they relate to:

- establishing or enhancing electronic linkages among or between libraries;
- electronically linking libraries with educational, social, or information services;
- assisting libraries in accessing information through electronic networks;
- encouraging libraries in different areas and encouraging different types of libraries to establish consortia and share resources;
- paying costs for libraries to acquire or share computer systems and telecommunications technologies; and
- targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

How Grants Are Made

If more than one application is received, applications will be evaluated by individual field review and/or panel review. Reviewers will have expertise in the types of activities identified in the proposed projects. Reviewers will be drawn from professionals in the field and from areas of expertise as determined by the Director. The Director will make funding decisions based on the evaluations by reviewers and the overall goals of the Native Hawaiian Library Services program.

Data Universal Numbering System (DUNS)/ Taxpayer Identification Number (TIN)

To improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget has directed all federal agencies to require all applicants for federal grants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for federal grants or cooperative agreements on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (E-Grants).

Organizations should verify that they have a DUNS number or take the steps needed to obtain one. Organizations can receive a nine-digit DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by visiting <http://www.dnb.com/us/>.

The Taxpayer Identification Number is a nine-digit identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the Social Security Administration (SSA) or by the IRS. A Social Security number is issued by the SSA whereas all other TINs are issued by the IRS. An Employer Identification Number (EIN), also known as a federal Tax Identification Number, is a nine-digit number that the IRS assigns to business entities. The IRS uses this number to identify taxpayers that are required to file various business tax returns.

If your organization does not have a DUNS or TIN number, your application will be rejected.

Conditions of a Grant

USE OF FUNDS

Native Hawaiian Library Services grant funds may be used only for the costs of the project such as costs for salaries for library personnel, library materials (including books, journals, electronic resources and equipment), library project supplies, telecommunication services and equipment, and fees for participation in networks and consortia that provide the library with direct services. No more than 15% of the granted funds may be used for indirect costs, unless the applicant has a current, federally negotiated indirect cost rate.

LIMITS ON USE OF FUNDS

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, or pre-grant costs. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide cost principles apply.

GRANT PERIOD

Funds must be expended within the one-year grant period. The grant period begins October 1, 2005 and ends no later than September 30, 2006. A one-time no-cost extension to the grant period may be requested from the Associate Deputy Director for Library Services. A request for an extension must be made in writing no later than 10 days before the end of the grant period.

AMOUNT OF GRANT

The total amount available for the Native Hawaiian Library Services Grant Program is \$496,000. More than one grant may be awarded. Applicants may be granted an amount less than that requested. Grants will be made in September 2005 from FY 2005 funds.

COST SHARING

Cost sharing is not required but it is considered a demonstration of commitment to the project on the part of the applicant. **All cost sharing expenses must be incurred during the grant period, not before or after. Grantees must maintain documentation of cost sharing for reporting purposes to IMLS.** In-kind contributions may be used for cost sharing if they specifically relate to the proposed project(s). If any funds are to be contributed as cost share by sources other than the applicant or its official partners, the applicant must identify whether the commitment of funds is assured or pending. If the funds are assured, the applicant should include a letter from the source affirming its commitment. If the funds are not assured, the applicant should describe its plan for meeting the promised cost share from other sources in the event that the pending funds are not received. Government-wide uniform administrative rules and requirements apply.

Your cost sharing may consist of:

- Cash contributions (funds allocated directly to the project by the applicant or a third party);
- In-kind contributions (the value of non-cash contributions provided by the applicant or a third party, for example staff time (if salaries are not paid with federal funds), volunteer time, materials and supplies, and services).

IMLS does not allow federal funds to be used as cost share. The limitation on using federal funding as cost share applies to salaries, equipment, services, etc. funded by federal dollars. Costs such as rent (if space is owned by the organization), utilities, and insurance are considered to be part of indirect costs and will not be accepted as direct costs requested from IMLS or as part of direct cost in-kind contributions, if an indirect cost rate or the 15 percent administrative fee is charged to the project. If personnel or resources funded by federal dollars are a part of the project design and/or management plan, their role may be described in the application narrative.

Indirect costs may be used as cost sharing. Indirect costs, often referred to as overhead costs, are not attributable to a specific project or activity of an organization.

MAINTENANCE OF EFFORT

Any organization receiving a Native Hawaiian Library Services Grant must expend the same amount for library services, exclusive of the grant amount, during the grant period that was expended in the 12-month period immediately preceding the grant period.

THREE-YEAR PLAN

An applicant is expected to submit with the application a three-year plan for library services including projected interactions with other community organizations and schools. A three-year plan includes identifying community needs and outlining goals/objectives and activities responding to those needs. The plan should include a description of an evaluation process to demonstrate progress toward goals/objectives. The library board or other appropriate governing body must approve the plan. The plan submitted in 2005 will be for the years 2006 to 2008. For a Sample Three-Year Plan, go to www.imls.gov/grants/library/lib_nhls.asp.

COPYRIGHT/ WORK PRODUCTS

IMLS requires acknowledgment of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval for another arrangement. The recipient may copyright, with written permission, any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. IMLS reserves, for federal government purposes, a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that awardees provide three copies of any products produced with IMLS funds to IMLS with the final reports. Generally, a beta version of software developed on an IMLS-funded project must be provided to IMLS as a product of the grant. Consult with IMLS regarding software development projects.

NOTIFICATION OF GRANT

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions in September 2005.

PAYMENT, ACCOUNTING, MANAGEMENT, AND REPORTING PROCEDURES

A federal accounting office handles the payment of Native Hawaiian Library Services Grants. Grant recipients may request cash advances or reimbursements as needed during the project period. Final reimbursement requests must be made within 90 days after the end of the grant period. Payments are made electronically. IMLS requires grant recipients to maintain a restricted account for funds received during the project period. They do not need to maintain a separate bank account for IMLS grant

funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements. In addition, government-wide uniform grant administrative rules and requirements apply. Grant recipients are required to submit six-month performance reports as well as annual financial status reports. They are also required to submit a final performance report and a final financial report. Interim reports must be submitted within 30 days after the end of each reporting period. Final performance and financial reports are due within 90 days after the close of the grant period. IMLS will provide reporting instructions.

**FOR MORE
INFORMATION**

For questions, contact: Alison Freese, Senior Program Officer
Native Hawaiian Library Services
(202) 606-5408; afreese@imls.gov

Application Evaluation Criteria

Reviewers will be instructed to evaluate proposed projects according to the criteria identified in these guidelines. You must address all of the evaluation criteria and in the same order in which they are listed below. Each criterion should be used as a heading and followed by a comprehensive description. Since reviewers base their evaluations only on the information presented in your application, it is important that you prepare a clear, concise, well organized document. The first seven criteria listed should be addressed in the application narrative. The eighth criterion, the budget, should be addressed in a separate section.

APPLICATION NARRATIVE

STATEMENT OF NEED

Include a statement of need as it relates to library services and the community.

Include information such as:

- a description of the community,
- current status of library services,
- how the proposal will improve library services, and
- impact on the community from improved library services.

PROJECT DESIGN

Include a description of the proposed project plan. Include information such as:

- clear goals/objectives,
- approach for accomplishing project objectives,
- action steps and activities to implement the project,
- appropriate application of technology including strategies to service, maintain and upgrade proposed hardware and software,
- coordination of activities with the State Library Agency,
- how this project is of sufficient scope to create positive change in library services, and
- plan to maintain and continue the positive changes after the period of federal funding.

MANAGEMENT PLAN

Describe the management plan demonstrating the strategy for completing a successful project. Include information such as:

- how oversight will be provided for the various action steps and activities,
- evidence that applicant is capable of implementing the project plan,
- evidence that applicant is capable of successfully completing the project by deploying the appropriate personnel, facilities, equipment and supplies, and
- experience with sound financial planning and management.

PERSONNEL

Identify the management staff and library staff who will implement this project.

Include information such as:

- qualifications to accomplish the project goals/objectives,
- experience and expertise in the specific areas to which they will be assigned for this project, and
- adequate time commitment for the successful completion of the project.

Note: You must attach resumes for all people who will serve on this project. Maximum length of resumes: two pages per person. For new positions to be paid from grant funds, include a position description. You do not need to identify persons to be hired for new positions.

EVALUATION

Describe the approach and methodology to be used for monitoring and assessing the activities of the project. Include information such as:

- baseline data to judge how much was achieved,
- evidence of ongoing and comprehensive evaluation to assess progress,
- measurement of outcomes for each objective, impact of changes, success and possible improvement areas for the future,
- measurement of community satisfaction with new or improved services, and
- plan for documenting final results - both expected and unexpected.

MODEL PROJECT

Describe how this project will serve as a model for other libraries serving underserved communities and how information about this project will be shared within the library community. Include information such as:

- improvement of service to the community and library users,
- documentation of project results, and
- broad dissemination of project results (including technical knowledge gained during project) using a variety of appropriate media.

CONTRIBUTIONS/COST SHARING

Describe the commitment to the project by contributions to the project costs in the form of cost sharing. All contributions should be included in the budget narrative, the detailed budget forms, and the summary budget form. See information on cost sharing on page 1.5. Include information on:

- cash match and
- in-kind contributions.

THREE-PART BUDGET

Demonstrate that the budget is appropriate, cost efficient, and reflects the goals and activities of the proposal. The proposal must include a three-part budget: 1) Budget Justification; 2) Detailed Budget form; and 3) Summary Budget form. The budget should include costs to be supported by IMLS funds, applicant and third-party matching and cost sharing, and any costs to be supported by other federal agencies. Only those costs necessary to achieving specific project objectives should be included in the budget. Cost sharing is not required but it is considered a demonstration of commitment to the project on the part of the applicant. Other federal funds may not be counted as cost sharing or matching funds. See detailed budget instructions on page 1.13.

FOR PROJECTS INVOLVING DIGITIZATION

If a proposed project involves digitization, the Specifications for Projects Involving Digitization form on pages 2.9–2.10 must be completed. The “Guidance for Digitization Projects” on the following pages is intended to assist the applicant in learning more about digitization projects. If the proposed project does not include digitization, the Specifications form is not required.

Guidance for Digitization Projects

INFORMATION TO INCLUDE IN PROPOSAL

In the proposal narrative, describe the subject matter and its significance, including relationships to related collections. Explain how the material was or will be selected for digitization. Describe the additional value that digitization will bring to the materials, such as enabling innovative new uses or attracting new audiences. Describe how potential users will discover the collection. The application also includes a form, Specifications for Projects Involving Digitization (see p. 3.29), which must be completed and submitted with the application. Funded digitization projects are encouraged to report their projects to a public registry of digital resources and/or a national bibliographic utility, as appropriate.

INTEROPERABILITY

Digitization projects should follow existing standards and best practices where applicable and should be interoperable with other collections.

DIGITIZATION PLANS

Applicants for digitization projects are strongly encouraged to develop a digitization plan before writing the grant application, and to include a copy of the plan as an appendix to the application.

RESOURCES FOR DIGITIZATION PROJECTS

IMLS has published “A Framework of Guidance for Building Good Digital Collections” as a resource for applicants planning digitization projects, which is now maintained by the National Information Standards Organization. It is available at <http://www.niso.org/framework/forumframework.html>. This document contains links to many Web sites with useful information for planning and implementing digitization projects. IMLS offers a wealth of information, including lists of digitization projects funded, at the Digital Corner on the IMLS Web site at <http://www.imls.gov/digitalcorner/index.htm>.

The list of resources below will guide applicants to resources for learning more about digitization projects. It is neither exhaustive nor an endorsement by IMLS of any particular resource.

Training

- Many universities, organizations, and businesses provide training in digitization and related topics. The following are examples only—check the general resource lists for leads to more training opportunities and the topic lists below for training resources in specific subject areas.
- <http://www.library.cornell.edu/preservation/tutorial/contents.html>—Moving Theory into Practice: Digital Imaging Tutorial, by Cornell University Department of Preservation and Collections Maintenance.
- http://www.solinet.net/digital_services/ds_templ.cfm?doc_id=2506—SOLINET (Southeastern Library Network) offers training in digital imaging, copyright, digital preservation, and other related topics.
- <http://www.oclc.org/education/workshops/default.htm>—OCLC (Online Computer Library Center) provides seminars, workshops, and online training in digital projects, preservation, copyright, and other topics related to digitization.

General

- <http://www.cdphheritage.org/resource/index.html>—The Colorado Digitization Program’s Web site has a site devoted to digitization resources that includes information about copyright, metadata, digitization standards, and administrative concerns.
- <http://memory.loc.gov/ammem/ftpfiles.html>—Building Digital Collections: Technical Information and Background Papers, Library of Congress American Memory Project.

- <http://library.amnh.org/diglib/index.html>—The American Museum of Natural History's Digital Library Project Web site has information on and links to resources on many topics, such as planning, standards, and digital resources management.
- <http://sunsite.berkeley.edu/imaging>—Digitizing Images and Text, the Berkeley Digital Library portal, links to resources on digitization projects, resources, and tools.
- <http://www.mainememory.net/home.shtml>—The Maine Memory Network provides guidance and resources for its contributing cultural institutions such as libraries, museums, archives, and historical societies.
- <http://images.library.uiuc.edu/resources/links.htm>—The University of Illinois at Urbana-Champaign Digital Imaging Media Technology Initiative provides resources about many digitization topics, including a listing of current imaging programs, organizations, and committees.
- <http://www.chin.gc.ca/English/index.html>—The Canadian Heritage Information Network has information on creating and managing digital content.
- <http://www.nedcc.org/digital/tofc.htm>—The Handbook for Digital Projects: A Management Tool for Preservation and Access, a Northeast Document Conservation Center site, offers nine chapters of a handbook on project management, scanning, copyright issues, technical topics, best practices, vendor relations, and longevity. Includes many links to related sites.
- <http://www.diglib.org/publications.htm>—The Digital Library Federation has publications on a range of topics including digital image management and preservation.
- http://www.rlg.org/en/page.php?Page_ID=12081—The Research Library Group's DigiNews, a bimonthly Web-based newsletter.
- <http://www.asis.org/Bulletin/Jun-04/index.html>—The Bulletin of the American Society for Information Science and Technology, vol. 30, no. 5, June/July 2004, contains a special section about online museum information.

Metadata

- http://www.niso.org/standards/resources/Metadata_Demystified.pdf—Metadata Demystified, by Amy Brand, Frank Daly, and Barbara Meyers (The Sheridan Press and NISO Press, 2003).
- http://www.getty.edu/research/conducting_research/standards/intrometadata/index.html—Introduction to Metadata: Pathways to Digital Information, edited by Murtha Baca (Getty Research Institute, 2000).

Preservation of Digital Material

- <http://www.library.cornell.edu/iris/tutorial/dpm>—Digital Preservation Management: Implementing Short-term Strategies for Long-term Problems, a tutorial by the Cornell University Department of Preservation and Collections Maintenance.
- <http://www.dlib.org>—D-Lib Magazine has many articles on preservation of digital materials.

Intellectual Property

- <http://www.umuc.edu/distance/odell/cip>—Center for Intellectual Property and Copyright in the Digital Environment, by the Office of Distance Education and Lifelong Learning at the University of Maryland University College.
- <http://www.copyright.iupui.edu>—Copyright Management Center (CMC), Indiana University—Purdue University Indianapolis.

Universal Access

- <http://www.w3.org/WAI/>—The World Wide Web Consortium's guidance and resources on Web accessibility for people with disabilities.
- <http://trace.wisc.edu/world/web>—Designing More Usable Web Sites. The Trace Center presents resources on universally accessible Web guidelines, compliance with Section 508, and forums for discussing accessibility issues.

Preparing the Application Package

An application requesting a grant through the Native Hawaiian Library Services program of the IMLS must include the following materials organized in the order listed:

1. Face Sheet
2. Abstract
3. Narrative (includes all evaluation criteria except "Budget")
4. Budget
 - a. Budget Justification
 - b. Detailed Budget forms
 - c. Summary Budget form
 - d. Current federally negotiated rate agreement for indirect costs (if applicable)
5. Schedule of Completion
6. Specifications for Projects Involving Digitization (if applicable)
7. Proof of Not-for-Profit Status
8. Proof of Eligibility
9. Attachments
 - For example:
 - a. Three-Year Plan
 - b. Résumés of all staff involved in project (no more than two pages each)
 - c. Position descriptions for new positions for which IMLS funding is requested
 - d. Needs Assessments, Evaluation Reports or other documentation
 - e. Organizational Chart

The applicant must submit one original [with original signature(s) of authorizing official(s)] and six copies of the entire application, plus two additional copies of the face sheet. Do not place the original or copies in binders or notebooks.

Applicants are requested to send an electronic copy of the information on the face sheet and the abstract on a 3.5 inch disk or CD, formatted as a text file (.txt) or rich text file (.rtf). You do not need to replicate the format of the face sheet.

Use a typeface that contains no more than six lines per vertical inch. Use a typeface with standard spacing between letters; do not use a condensed typeface. Leave a margin of at least 1/2 inch on all sides. Number all pages. It is essential that reviewers can easily read the information you provide.

No submitted application materials will be returned.

FACE SHEET

The face sheet is provided as pages 2.3–2.4 of the Application Materials. Use or replicate this form.

ABSTRACT

An abstract of no more than one page, single spaced (600 word maximum) should describe the primary goals of the proposed activities and present an overview of the design of the project to achieve those goals. Describe anticipated results/outcomes.

NARRATIVE

A narrative of no more than 10 single-spaced, one-sided pages should address the evaluation criteria listed on pages 1.8–1.9. Do not exceed the 10 page limit. Use 8 1/2 x 11 inch paper. Your narrative should include sections on: statement of need, project design, management plan, personnel, evaluation, model project, and contributions. The narrative should provide a comprehensive description for each of the criterion and they should appear in the order listed. Make it clear to reviewers why you are proposing the project, what the project entails, how the activities will be accomplished, who will be involved, when the activities will take place, and how the project will be managed, evaluated and sustained.

Because reviewers base their evaluations only on the information presented in your application, it is important that you prepare a clear, concise, well-organized document. IMLS has created a Project Planning Tutorial that is accessible from the home page of the Web site (www.imls.gov) under IMLS E-Services. The tutorial was designed for organizations applying for National Leadership Grants (NLG); however, it is a useful planning tool for other IMLS applications as well.

If your project involves materials currently under copyright, you should indicate what has been done to secure the necessary permission to copy or to publish the materials.

BUDGET

The IMLS Native Hawaiian Grant application includes three elements to describe the costs of a proposed project: a Detailed Budget form, a Summary Budget form, and a Budget Justification that explains all components of the Detailed Budget form. IMLS has provided instructions below on what information to include in particular categories of the Detailed Budget form. The budget should include costs to be supported by IMLS funds and cost sharing, if applicable. Only those costs necessary to achieve the specific project goals should be included in the budget.

DETAILED BUDGET FORMS INSTRUCTIONS

**Check to be certain the budget is mathematically correct before it is sent.
Round off to the nearest dollar.**

Project Costs

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions (cost sharing). In-kind contributions include the value of services or equipment that is donated to the project free of charge. All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization. When indirect costs are charged to the project, care should be taken to ensure that expenses included in the organization's indirect cost pool (see Indirect Costs below) are not charged to the project as direct costs.

Fringe Benefits

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs.

Travel Costs

Applicants who receive a Native Hawaiian Library Grant award must attend an annual grantee meeting. As part of your travel budget, \$2,500 is included under IMLS funds to attend the grantee meeting. The lowest available commercial fares for coach or equivalent accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Equipment

Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

Services

The costs of project activities to be undertaken by a third-party contractor, including a partner, should be listed under this budget category as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be contributed by the third party. A complete itemization of these costs should be attached to the IMLS budget form. If there is more than one contractor, the cost of each contract must be listed separately on the IMLS budget form and must have an attached itemization. Individual consultants may be listed under "Consultant Fees."

SUMMARY BUDGET

The Summary Budget should clearly identify the amount requested from IMLS, and the amount provided as cash and in-kind contributions by the applicant, by any partners, and from any other sources in the cost-share column.

BUDGET JUSTIFICATION

The Budget Justification should explain all elements of the Detailed Budget. For example, the Budget Justification should explain the role that each person listed in the project budget will play. It should also provide justification for all proposed equipment, supplies, travel, services, and other expenses. The applicant should provide specifications for all hardware and software for which IMLS funding is requested.

IMLS encourages applicants to contribute as cost sharing the salaries of permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period. The Budget Justification should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third-party service providers should be documented by bids or otherwise justified.

INDIRECT COSTS (OVERHEAD)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget, but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency, may charge an administrative fee to the project of up to 15 percent. IMLS will pay this administrative fee only on that portion of direct project costs that are supported by IMLS funds. This fee may also be applied to the direct project costs that will be supported by the applicant and may therefore be counted as part of the applicant's cost sharing. If an applicant chooses this option, it must be careful to exclude all indirect cost type items from the budget and the fee may not be applied to more than the first \$5,000 of distorting costs such as equipment purchases or subcontracts.

If an institution has a federally negotiated indirect cost rate that will be current at the time an award is made, this rate may be used to determine total project costs, as long as the rate is applied in accordance with the negotiated agreement and a copy of the negotiation is forwarded to IMLS with the application. However, IMLS will pay

indirect costs only on the portion of the direct costs that are supported by IMLS funds. Indirect costs that are related to the direct project costs that will be supported by the applicant may be included in the budget only as a part of the applicant's cost sharing. IMLS will not accept an indirect cost rate that is scheduled to expire before the award is issued.

An institution that is in the process of negotiating an indirect cost rate with a federal agency may apply the proposed rate to estimate total project costs as long as it follows the instructions in the previous paragraph in applying the rate and includes the indirect cost proposal in the application material. IMLS will not pay any indirect costs until a rate is negotiated and a copy of the final agreement is submitted to the IMLS Office of Grants Administration. It is possible that the amount of the award will be reduced if the final negotiated rate is less than the rate that was used in the application budget. However, the amount of the award will not be increased if the negotiated indirect cost rate is higher than the rate proposed in the application.

An organization that will function as a partner in undertaking grant activities may charge an administrative fee to the project of up to 15 percent if it does not have a federally negotiated indirect cost rate that will be current at the time the award is made. If it chooses to charge indirect costs to the project, a copy of the indirect cost negotiation must be attached to the budget itemization.

**SCHEDULE
OF
COMPLETION**

A schedule of completion should show when each major activity will occur and its duration. Benchmarks for progress of the project should be identified. The schedule of completion should correspond to the activities described in the narrative. A sample schedule of completion is provided with the application package on page 2.8.

**SPECIFICATIONS
FOR
PROJECTS
INVOLVING
DIGITIZATION
(IF
APPLICABLE)**

If a project involves digitization, the "Specifications for Projects Involving Digitization" form on pages 2.9–2.10 must be completed. If a proposed project does not involve digitization, the form is not required. See "Guidance for Digitization Projects" on pages 1.10–1.11 for a list of resources on digitization projects. This resource list is intended to assist in learning more about digitization projects and is neither exhaustive nor an endorsement by IMLS of any particular resource. The following are instructions describing what information to include in the Specifications for Projects Involving Digitization form.

INSTRUCTIONS**Question 1**

Describe all the types of materials that you will digitize. Describe the different formats of materials such as text, photographs, three-dimensional art objects, archaeological artifacts, video, etc., and give the number of each type. Identify special physical features, such as “bound” or “oversize.”

Question 2

- a. Identify all use or access restrictions covering the original materials. Check the type of restriction and give the percentage of the materials to be digitized that are covered.
- b. Explain any access or use restrictions, such as copyright, that will apply to the digitized version being created by the project.

Question 3

Explain what equipment will be used and include specifications that are relevant to the work of the project, such as cameras with zoom capability, scanners, servers, motorized object rigs, etc. Equipment must be described whether you will do the digitization in-house or outsource it to a contractor or partner.

Question 4

Specify the file formats to be produced and the anticipated quality of each format. For images, specify master, access, and thumbnail versions and image quality of each: minimum resolution, depth, tone, and pixel dimensions. If watermarks or other features will be used, explain. For other media (e.g., audio, video, motion picture), provide appropriate specifications. Include sampling rates, if applicable.

Question 5

Explain how the digital material will be delivered to users and describe digital access management systems or software that will be used.

Question 6

Describe your plan for ensuring the quality of the digital product.

Question 7

Estimate the cost per image or unit of digitization (e.g., video, motion picture). Include all aspects of production, such as scanning, quality control, and indexing, and explain what costs are included in the calculation.

Question 8

Explain what metadata will be used to describe and manage the content. Include the standards that will be used for data structure, content (e.g., thesauri), protocols, administrative information, and communication of the content.

Question 9

Provide a plan for preserving and maintaining the digital material during and after the grant period. The plan should cover metadata, storage systems and media to be used, migration plans, maintenance responsibilities, and funding support.

Question 10

If you are producing collection-level records, describe plans for submitting collection level descriptive records to a bibliographic utility or service, such as the Research Libraries Information Network (RLIN) or Online Computer Library Center (OCLC).

Question 11

Describe plans for submitting information about the project to a public registry of digital resources, including the IMLS-supported Digital Collections and Content Registry and Metadata Repository Project at <http://imlsdc.grainger.uiuc.edu>.

Question 12

Provide URL(s) for applicant's previously digitized collections, if applicable. If the proposed digital collection will differ substantially in look and feel from collections previously digitized, explain what the difference(s) will be.

**PROOF OF
NOT-FOR-
PROFIT
STATUS**

The applicant and any partners must submit proof of not-for-profit status which may be either:

- A copy of the IRS letter indicating the organization's eligibility for not-for-profit status under the applicable provisions of the Internal Revenue Code of 1954, as amended; or
- An official document identifying the organization as a unit of state or local government or other tax exempt multipurpose organization. If prepared specifically for this application, the certification must be on the parent organizations' letterhead and certified by an official of the parent organization.

Note: IMLS will not accept a letter of sales tax exemption as proof of nonprofit status.

**PROOF OF
ELIGIBILITY**

Applicants must submit proof that they are eligible not-for-profit organizations that primarily serve and represent Native Hawaiians (as defined in section 7207 of the Native Hawaiian Education Act). As proof of eligibility, applicants must submit the organization's charter documents, including the organization's articles of incorporation. Applicants may provide additional proof of eligibility.

**IMLS
ASSURANCES**

To be considered for a grant, an authorizing official must read the Assurances and sign the certification on the Application Face Sheet. An authorizing official of the applicant tribe is a person who has the authority to apply for federal support of the organization's activities and to enter into legal agreements in the name of the organization.

ATTACHMENTS

Résumés or vitae of no more than two pages each for all key personnel (both staff and consultants) must be included. For new positions for which IMLS funding is requested, include position descriptions. Include a copy of the library's Three-Year Plan. Also, applicants should include documents that specifically relate to the justification for the project. Information may include needs assessments, reports from planning activities, products or evaluations from previously completed or ongoing projects of a similar nature or other documents for the evaluation of the proposal.

Sending the Application to IMLS

Send applications to:

Native Hawaiian Library Services
Office of Library Services, Room 802
Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW
Washington, DC 20506

SHIPPING

Applications must be postmarked no later than the application deadline:

May 16, 2005

Shipping an application to IMLS:

- All applications must be postmarked no later than the application deadline. Applications that do not meet the postmark deadline will be rejected without evaluation.
- All of the first-class and Priority mail sent to IMLS through the U.S. Postal Service is put through an irradiation process, which results in lengthy delays in mail delivery. Support materials (e.g., CDs, videos, slides) put through the irradiation process are suffering irrevocable damage.
- Please consider using commercial delivery services. Applications do not need to be sent overnight; ground service is acceptable.
- If you must use the U.S. Postal Service, IMLS recommends certified or registered mail.
- Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.
- In the event that a deadline falls on a day U.S. post offices are closed, such as Sundays and federal holidays, IMLS will accept proposals postmarked the next business day.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected.
- Within 15 working days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.

IMLS ACKNOWLEDGMENT

PROOF OF SHIPPING

IMLS may ask for proof of shipping if the postmark date on the package cannot be read.

- The U.S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date stamped.
- IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier.
- IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U.S. Postal Service.
- If using registered mail, the green return receipt card does not meet the IMLS requirement for proof of shipping.

**APPLICATION
FORM**

Face Sheet

1. Applicant Organization

2. Name of Sponsoring Organization/Parent Organization (if applicable)

3. Applicant's Mailing Address

4. City

5. State

6. Zip Code

7. DUNS Number (9 digits)

8. Taxpayer Identification Number (9 digits)

9. Name and Title of Authorizing Official

10. Authorizing Official's Mailing Address

11. City

12. State

13. Zip Code

14. Business Phone of Authorizing Official

15. Business Fax of Authorizing Official

16. E-mail Address of Authorizing Official

17. Name and Title of Project Director ☐ Mr. ☐ Ms. ☐ Dr.

18. Affiliation of Project Director

19. Project Director's Mailing Address

20. City

21. State

22. Zip Code

23. Business Phone of Project Director

24. Fax Number of Project Director

25. E-mail Address of Project Director

26. Institutional Profile:

Use the space provided or attach a separate sheet to provide an organizational profile of no more than one page that identifies the organization's mission, service area and levels of service, placement within a parent organization (if applicable) and where within the organization the responsibility for the management of the proposed project activities would be assigned.

27. Project Title

28. Identify which of the following activities will be supported with IMLS funds:
(please check all appropriate boxes)

- ☐ establishing or enhancing electronic linkages among or between libraries;
- ☐ electronically linking libraries with educational, social, or information services;
- ☐ assisting libraries in accessing information through electronic networks;
- ☐ encouraging libraries in different areas, and encouraging different types of libraries, to establish consortia and share resources;
- ☐ paying costs for libraries to acquire or share computer systems and telecommunications technologies; and
- ☐ targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

29. Amount Requested \$ _____

30. Amount of Cost Sharing \$ _____

31. Total Project Costs from all Sources \$ _____

32. Digitization Project ☐ Yes ☐ No

To the best of my knowledge and belief, the information provided in this application is true and correct. This application has been duly authorized by the governing body of the applicant, and the applicant will comply with all grant terms and conditions and with the assurances and certifications that appear in the IMLS Native Hawaiian Library Services guidelines.

(Name and Title of Authorizing Official)_____
(Signature)_____
(Date)

Project Budget Form

SECTION 1: DETAILED BUDGET

IMPORTANT! READ INSTRUCTIONS ON PAGES 1.13–1.16 BEFORE PROCEEDING.

Name of Applicant _____

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES			\$		

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES			\$		

FRINGE BENEFITS

RATE	SALARY BASE	IMLS	COST SHARE	TOTAL
_____	% of \$ _____	_____	_____	_____
_____	% of \$ _____	_____	_____	_____
_____	% of \$ _____	_____	_____	_____
_____	% of \$ _____	_____	_____	_____
TOTAL FRINGE BENEFITS		\$		

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	NO. OF DAYS (OR HRS) ON PROJECT	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL CONSULTATION FEES			\$		

TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	COST SHARE	TOTAL
IMLS Meeting	() ()	_____	_____	\$2,500	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS				\$		

Project Budget Form

SECTION 1 CONTINUED

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL COST OF MATERIALS, SUPPLIES & EQUIPMENT \$		_____	_____	_____

SERVICES

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL SERVICES		\$ _____	_____	_____

OTHER

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL COST OF OTHER		\$ _____	_____	_____

	IMLS	COST SHARE	TOTAL
YEAR ONE DIRECT PROJECT COSTS	_____	_____	_____
YEAR ONE INDIRECT PROJECT COSTS CHARGED TO (see below to calculate Indirect Costs)	_____	_____	_____
YEAR ONE TOTAL PROJECT COSTS (Direct and Indirect Costs)	_____	_____	_____

CALCULATE INDIRECT COSTS:

IMLS will pay indirect costs only on the direct costs requested from IMLS.

Applicant is using:

- ☐ An administrative fee which does not exceed 15% of modified total direct costs charged to IMLS
- ☐ Federally negotiated cost rate that will be in effect as of October 1, 2005, or a copy of a rate proposal that is currently under consideration (enclose copy with application)

_____ % of \$ _____ = _____
Rate Base Amount Indirect Costs

Project Budget Form

SECTION 2: SUMMARY BUDGET

IMPORTANT! READ INSTRUCTIONS ON PAGES 1.13–1.16 BEFORE PROCEEDING.

Name of Applicant _____

DIRECT COSTS

	IMLS	COST SHARE	TOTAL
SALARIES AND WAGES	_____	_____	_____
FRINGE BENEFITS	_____	_____	_____
CONSULTANT FEES	_____	_____	_____
TRAVEL	_____	_____	_____
MATERIALS, SUPPLIES & EQUIPMENT	_____	_____	_____
SERVICES	_____	_____	_____
OTHER	_____	_____	_____
TOTAL DIRECT COSTS	\$ _____	\$ _____	\$ _____
TOTAL INDIRECT COSTS	\$ _____	\$ _____	\$ _____

*You may request indirect costs from IMLS only on the direct project costs requested from IMLS.

TOTAL PROJECT COSTS \$ _____

AMOUNT OF CASH CONTRIBUTIONS \$ _____

AMOUNT OF IN-KIND CONTRIBUTIONS \$ _____

TOTAL AMOUNT OF COST SHARING \$ _____
(DIRECT AND INDIRECT COSTS)

AMOUNT REQUESTED FROM IMLS \$ _____
(DIRECT AND INDIRECT COSTS)

Have you received or requested funds for any of these project activities from another federal agency? (please check one) ☐ Yes ☐ No

If yes, name of agency _____

Date of application _____ or award _____ Amount requested or received \$ _____

Specifications for Projects Involving Digitization

1. Describe types of materials to be digitized (e.g., artifacts, maps, manuscripts, photographs, audio recordings, video recordings, motion pictures) and number of each.

2. a. Identify copyright issues and other potential restrictions with regard to the original material:

- ☐ Public domain ____% of total
- ☐ Permissions have been obtained ____% of total
- ☐ Permissions to be requested ____% of total – Plan to address:
- ☐ Privacy concerns ____% of total – Plan to address:
- ☐ Other - Explain:

- b. Describe the terms of access and the use of digital version created by this project.

3. List the equipment, with specifications, whether purchased, leased, or outsourced, that will be used (e.g., camera, scanner, server):

4. Specify each type of file format (e.g., TIFF, JPEG) to be produced and anticipated image quality of each (e.g., minimum resolution, depth, tone, pixel dimensions):

- ☐ Master _____
- ☐ Access _____
- ☐ Thumbnail _____
- ☐ Formats for other media (e.g., audio, video, motion picture), include sampling rates, if applicable _____

5. Describe (1) the delivery medium that will be used and (2) the digital access management system or systems that will be used to make this material available to others. _____

6. Describe the quality control plan: _____

7. Estimate cost per image. Include costs such as scanning, quality control, and indexing. Indicate the basis for calculation: _____

8. Explain how content will be discovered through metadata, including which standards you will use (e.g., MARC, EAD, Dublin Core, VRA Core Categories, Categories for the Description of Works of Art): _____

9. Describe plans for preservation and maintenance of the digital files during and after the expiration of the grant period: _____

10. If you are producing collection-level records, describe plans for submitting collection-level descriptive records to a bibliographic utility, such as Research Libraries Information Network (RLIN) or Online Computer Library Center (OCLC): _____

11. Describe plans for submitting information about the project to a public registry of digital resources: _____

12. Provide URL(s) for applicant's previously digitized collections, if applicable: _____

IMLS Assurances

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the assurances statement below. Review the Assurances and sign the certification on the Application Face Sheet. If you receive a grant, you must comply with these requirements.

ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, the applicant will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from the Institute of Museum and Library Services after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the Federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS

FINANCIAL, ADMINISTRATIVE, AND LEGAL ACCOUNTABILITY

The authorizing official, on behalf of the applicant, certifies that the applicant has legal authority to apply for federal assistance and the institution, managerial, and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management, and completion of the project described in this application. All grantees must comply with all grant terms and conditions, all requirements of the IMLS Grants Regulations (45CFR 1110, 1183, 1185, and 1186) and all other applicable federal statutes and regulations.

FEDERAL DEBT STATUS

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

DEBARMENT AND SUSPENSION

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant, nor its principals:

- (a) are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) have within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- (c) are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

NON-DISCRIMINATION

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity receiving federal financial assistance;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*), which prohibits discrimination on the basis of disability in federally assisted programs;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in federally assisted programs.

DRUG-FREE WORKPLACE ACT OF 1988

- A. The authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
 - (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
 - (b) establishing an ongoing drug-free awareness program to inform employees about:
 - 1. the dangers of drug abuse in the workplace;
 - 2. the grantee's policy of maintaining a drug-free workplace;
 - 3. any available drug counseling, rehabilitation, and employee assistance programs; and
 - 4. the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
 - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - 1. abide by the terms of the statement; and
 - 2. notify the employer in writing of his or her conviction for a violation of criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice,

including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

- (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
 - 1. taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*); or
 - 2. requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law, or other appropriate agency;
- (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

- B. The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000)**

The authorizing official certifies, to the best of his or her knowledge and belief, that:

- (a) No federal appropriated funds have been paid or will be paid, by or on behalf of the authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (c) The authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**GENERAL
CERTIFICATION**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program.

II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

**HISTORIC
PROPERTIES**

The authorizing official, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 *et seq.*).

For further information on the certifications, contact IMLS at 1100 Pennsylvania Avenue, NW, Washington, DC 20506

Application Checklist

Use the following checklist to make sure you have included all required materials.

- ☐ Face Sheet with original signature of Authorizing Official
- ☐ Abstract
- ☐ Narrative
- ☐ Project Budget
 - Budget Justification
 - Detailed Budget forms
 - Summary Budget form
 - Current Federally negotiated rate agreement for indirect costs, if applicable
- ☐ Shedule of Completion
- ☐ Specifications for Projects Involving Digitization, if applicable
- ☐ Proof of Not-for-Profit Status
- ☐ Proof of Eligibility
- ☐ Attachments
 - Three-year plan
 - Résumés of key personnel
 - Other (as appropriate) _____
- ☐ Original, plus six copies of the complete application form
- ☐ Two additional copies of Application Face Sheet
- ☐ 3.5 inch disk or CD with copy of Application Face Sheet and Abstract



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of MUSEUM
and LIBRARY
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